

Fiscal Year 2009 Defense Experimental Program to Stimulate Competitive Research (DEPSCoR)
Broad Agency Announcement W911NF-09-R-0003
Questions and Answers (Q & A)

Answers to questions are offered here. Where any questions may remain, the BAA is the overriding source for any guidance.

Q1: I see no place where an Executive Summary is requested. Is this now no longer required?

A1: State executive summaries from the state committees are no longer requested by the BAA. Each proposal requires a Project Summary/Abstract in accordance with instructions on page 7 of the BAA.

Q2: P 13 VII Agency Contacts of the BAA says there will be a Q and A section under the BAA announcement. When will this be placed there? There's nothing there yet.

A2: Questions and answers will be placed on the ARO website as they are received.

Q3: Do I understand correctly that State Committees are now redundant?

A3: State Committee identification of proposals for submission under the DEPSCoR BAA is no longer required.

Q4: I am writing to request clarification of the research areas of interest in the above referenced BAA. According to Page 3, the research technical areas for AFOSR can be found at the following location: Air Force Office of Scientific Research: <http://www.afosr.af.mil> (select "Research (AFOSR-BAA-2009-1)" on Homepage) However, there is no link for BAA-2009-1 on that page. Should our investigators be using the 2008 BAA instead?

A4: The AFOSR-BAA-2009-1 may now be accessed at the AFOSR website.

Q5: P. 4 section III "Each eligible "UNIVERSITY" may submit a maximum of three proposals. This paragraph usually allows three/state, not three universities. Is this a mistake or can an eligible State submit 6 proposals if they have two universities?

A5: The BAA is correct as it reads. If, as an example, a state possessed two eligible universities, each university could submit up to three proposals.

Q6: My question regards the submission requirements for BAA W911NF-09-R-0003 vs. the requirements listed for the BAAs and program descriptions listed as available on page 3 of the DEPSCoR announcement. For example, the U.S. Army Research Office lists BAA W911NF-07-R-0003-03 in relation with the DEPSCoR announcement, but some of the formatting requirements are different. The DEPSCoR BAA (attached) lists the font size as "No smaller than Times New Roman, 10 point" (page 6) but the ARO BAA (attached) lists the font size as "Times New Roman, 12 point" (page 82 of the ARO BAA). My overall question is: in cases of discrepancies between DEPSCoR BAA W911NF-09-R-0003 and other BAAs associated with this announcement, which set of requirements takes precedence?

A6: Submission of proposals should be in accordance with instructions in Section IV of the 2009 DEPSCoR BAA, W911NF-09-R-0003. BAAs and program descriptions referred to on page 3 of the BAA should be used only for research areas of interest. The BAA states on page 3, "For detailed information regarding technical goals, individuals preparing proposals are advised to consult these announcements..."

Q7: In the DEPSCoR 2009 program announcement, it reads that the project summary/abstract should include "the recommended proposal reviewer information in the following format:

- (a) Lead Reviewer to Receive the Proposal: Specify ARO, ONR, or AFOSR
- (b) Division/Directorate, and
- (c) Technical Area/Program Officer"

Question is this -- Is the Lead Reviewer a person or the office (ARO, ONR, AFOSR)?

A7: Under the BAA, the lead reviewer will be the Army Research Office (ARO), the Office of Naval Research (ONR), or the Air Force Office of Scientific Research (AFOSR). The BAA also allows the proposer to identify a Division/Directorate and Technical Area/Program Officer within the lead organization.

Q8: I am writing to request clarification of the eligibility requirements for the above referenced BAA. Per the BAA (Page 4), "The principal investigator must be a U.S. citizen or permanent resident and a faculty member at the institution submitting the proposal." Can you tell me what visa status would be required in order to be considered a "permanent resident"? In particular, one of our investigators is interested in applying, and he currently has an H1b visa. He filed an Immigration petition (I-140) in 2006 that was approved. He filed an Adjustment of status (I-485) in 2007 that is pending. Another immigration petition (I-140) was filed in 2007 and approved in 2008. Please let me know if you need further information to make a determination. I would appreciate any guidance you can provide on this issue.

A8: "Permanent residency" refers to a person's visa status: the person is allowed to reside indefinitely within a country despite not having citizenship. A person with such status is known as a "permanent resident." A "green card" gives you official immigration status (lawful Permanent Residency). You may also qualify as a permanent resident if you've had a green card in the last calendar year or been in the U.S. for a certain number of days over certain specified periods of time. Those unsure if they presently possess documentation showing "permanent resident" status should refer to the USCIS website <http://www.uscis.gov/portal/site/uscis> or contact the USCIS National Customer Service Center at (800) 375-5283. The principal investigator at the institution submitting the proposal must be a U.S. citizen or permanent resident.

Q9: I am an assistant professor at the University of Somewhere. My area is integrated circuit design. I am wondering how to include the chip fabrication cost in the budget. The quote from the vendor is \$xx k per year. But I remember DoD deals with chip fabrication cost differently. What I heard from my colleague is that the chip fabrication cost is not included in the budget and DoD will pay for it if I can get the project funded. Can you advise me how to include this cost in my budget?

A9: You may have been thinking about the PTAP program (Photonics Technology Access Program). That program ended last year and it required a separate proposal. You are advised to include all proposal costs in your proposed budget.

Q10: The FY 2009 BAA, page 6, says that eligible institutions in eligible EPSCoR jurisdictions can submit three proposals. That would mean that the University of Somewhere submits three and Somewhere State University submits three. Is my interpretation correct?

A10: Yes

Q11: My quick read indicates that State EPSCoR committees do not have a role in submitting through the Grants.Gov submittal process. Previously we submitted a cover letter. It looks like that is no longer required. Is my interpretation correct?

A11: Yes, a State EPSCoR committee cover letter is no longer required.

Q12: I need some clarification on "Each University can submit 3 proposals." We have 4 distinct research offices in City, USA associated with the University of Somewhere. They are all part of our legal entity The University of Somewhere. We also have campuses across the state. U Somewhere City X, U Somewhere City Y, U Somewhere City Z, U Somewhere Institute. They each have separate DUNS, separate F/A rate agreements, separate AOR. But one tax number. How do we determine how many proposals each unit can submit?

A12: The BAA states "Each eligible university may submit a maximum of three proposals." The BAA requires each awardee to be registered in the Central Contractor Registration (CCR) database (See BAA Section VI.2). A "unit" as you describe above must have a separate registration in CCR.

Q13: I am writing to request clarification of eligibility requirements for the above referenced solicitation. According to the requirements, an eligible institution may submit no more than 3 proposals. Is it acceptable for our institution to submit 3 proposals as the lead institution, while other investigators who are not included in those 3 proposals participate as subcontractors on proposals from other eligible institutions in the state?

A13: Yes. The BAA states "Each eligible university may submit a maximum of three proposals." The use of subcontractors or their locations is not mentioned in this requirement.

Q14: I'm writing to request clarification of the Cost Sharing/Matching section (page 5, III, item 2). The guidelines states "Matching funds may support items such as salaries, indirect costs, operating expenses, or new equipment.

Are these the only budget line items that can be used as a match or is it possible to match with tuition for graduate students?

A14: The items listed are examples of budget line items for which matching funds may be used. Other budget line items may be proposed for cost sharing in accordance with Part 32 of the DoD Grant and Agreement Regulations (32 CFR Part 32).

Q15: Regarding support letter from industry and Department of Defense. I assume they will be uploaded under Other Attachments, but do they count against the 25 page limit?

A15: General letters of support are not requested under this BAA; however, if submitted, they will be counted against the 25-page limit. Please note that there is a requirement for signed statement(s) of commitment under Item (h) Cost Sharing or Matching Plans on page 10 of the BAA, which do not count against the page limit.

Q16: My research is on XXX. To which Agency should I submit the proposal for Defense Experimental Program to Stimulate Competitive Research (DEPSCoR) funding?

A16: The Army, Navy, and Air Force publish their specific research areas of interest in separate Broad Agency Announcements (BAAs). DEPSCoR research program descriptions are available on-line at the following addresses, as specified on page 3 of the DEPSCoR BAA:

U.S. Army Research Office: <http://www.aro.army.mil> (select "For The Researcher" followed by "Funding Opportunities," see BAA W911NF-07-R-0003-03)

Office of Naval Research: <http://www.onr.navy.mil/02/baa>

Air Force Office of Scientific Research: <http://www.afosr.af.mil> (select "Research (AFOSR-BAA-2009-1)" on Homepage)

Proposals to perform research in listed technical areas, or other areas important to national defense will be considered. For detailed information regarding technical goals, such as interest in XXX, prospective researchers are advised to consult these announcements, or in the case of ONR, the ONR website, and to contact DoD program managers listed therein to explore possible mutual interest before submitting proposals.

Q17: In the program announcement, research areas of interest from three BAA's are specified (for the Army BAA W911NF-07-R-0003-03 is indicated). The research we are planning is a better fit with research areas described within the U.S. Army Medical Research and Materiel Command BAA 08-1. Would our proposed research still be considered "topical" from the perspective of the DEPSCoR BAA?

A17: Army BAA W911NF-07-R-0003-03 is referenced to provide the potential proposal author with insight into the basic research interests of the Army. The potential author is encouraged to contact program managers listed for the research areas described in the BAA. The further the potential author goes afield into other BAAs, the less likely the research will be of interest to the Army's basic research community.

Q18: Our university will provide a subcontract to another university. On page 9 under Subcontract Costs, it states: For subaward budgets, use the Research & Related Budget form. Under Budget Type, select "Subaward/Consortium." When this is done, the "Project" budget becomes the "Subaward/Consortium" budget. It seems the form will not allow for a "Project" budget and a "Subaward/Consortium" budget simultaneously for each period of performance. How do we provide the required information for both the "Project" budget and the "Subaward/Consortium" budget per the instructions?

A18: The instructions have been revised in accordance with Amendment #0001 to BAA W911NF-09-R-0003. Subaward budgets should be attached at Field 12, Other Attachments, on the FORM: Research & Related Other Project Information (Mandatory). There is no required form for the subaward budgets; however, they should contain the same information and be in the same format as required for the prime under this BAA. Files must be in Adobe PDF.